

6-10-02

DT16 Recd PCT/PTO JUN 07 2002

PCT  
SOL



Express Mail No. EU 103 024 264 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Shiao *et al.*

Serial No.: 09/830,693

Group Art Unit: To be assigned

Filed: March 30, 1999

Examiner: To be assigned

For: METHODS AND COMPOUNDS  
FOR MODULATING NUCLEAR  
RECEPTOR ACTIVITY

Attorney Docket No.: UCAL-256/01US  
(9811-0013-999)

Confirmation No.: 9894

#

7

**RESPONSE TO NOTIFICATION OF DEFECTIVE RESPONSE**

Assistant Commissioner for Patents  
U.S. Patent and Trademark Office  
Box Sequence, P.O. Box 2327  
Arlington, VA 22202

Sir:

In response to the Notification of Defective Response mailed May 7, 2002 in connection with above-identified application, Applicants submit herewith, a substitute Sequence Listing in paper and computer readable form pursuant to 37 C.F.R. §1.821(c) and (e) and a return copy of the Notification of Defective Response.

Applicants respectfully request the entry of the paper and computer readable forms of the Sequence Listing into the application. As the Sequence Listing merely presents nucleotide and/or amino acid sequences that appeared in the application as originally filed in accordance with 37 C.F.R. §1.821-1.825, the Sequence Listing does not introduce new matter into the application.

USSN 09/830,693

No fees are believed due in connection with this submission. However, if there is a fee due, please charge the required fee to the Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is attached.

Respectfully submitted,

*Richard G.A. Bone*

Date June 7, 2002

Richard G.A. Bone (Reg. No.)  
Limited Recognition Under 37 C.F.R. § 10.9(b)  
(Copy of Certificate Enclosed)  
for Samuel B. Abrams 30,605

PENNIE & EDMONDS LLP  
1155 Avenue of the Americas  
New York, New York 10036-2711  
(650) 493-4935

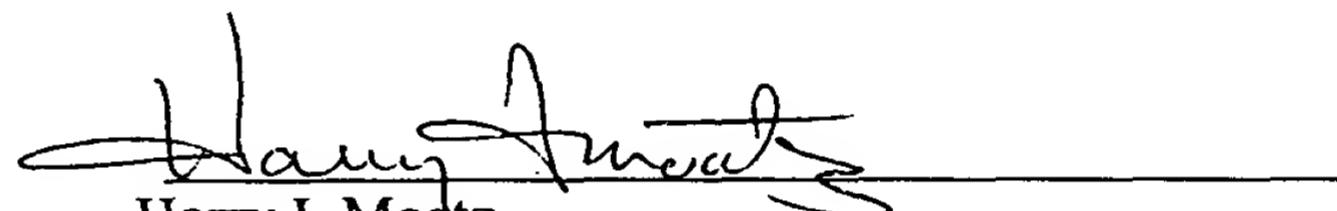
**BEFORE THE OFFICE OF ENROLLMENT AND DISCIPLINE  
UNITED STATE PATENT AND TRADEMARK OFFICE**

**LIMITED RECOGNITION UNDER 37 CFR § 10.9(b)**

Dr. Richard G. A. Bone is hereby given limited recognition under 37 CFR §10.9(b) as an employee of Pennie & Edmonds, LLP to prepare and prosecute patent applications wherein the patent applicant is the client of Pennie & Edmonds, LLP, and the attorney or agent of record in the applications is a registered practitioner who is a member of Pennie & Edmonds, LLP. This limited recognition shall expire on the date appearing below, or when whichever of the following events first occurs prior to the date appearing below: (i) Dr. Richard G. A. Bone ceases to lawfully reside in the United States, (ii) Dr. Richard G. A. Bone's employment with Pennie & Edmonds, LLP ceases or is terminated, or (iii) Dr. Richard G. A. Bone ceases to remain or reside in the United States on an H-1B visa.

This document constitutes proof of such recognition. The original of this document is on file in the Office of Enrollment and Discipline of the U.S. Patent and Trademark Office.

Expires: April 3, 2003

  
\_\_\_\_\_  
Harry I. Moatz  
Director of Enrollment and Discipline



## UNITED STATES PATENT AND TRADEMARK OFFICE

9811-013-999

Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/830,693	Andrew Shiau	UCAL-256/01US

INTERNATIONAL APPLICATION NO.

PCT/US99/06937

Cooley Godward  
 Five Palo Alto Square  
 3000 E1 Camino Real  
 Palo Alto, CA 94306-2155

RECEIVED

I.A. FILING DATE

PRIORITY DATE

03/30/1999

03/30/1998

MAY 22 2002

CONFIRMATION NO. 9894

371 FORMALITIES LETTER

Quine Intellectual Property Law Group, P.C.



\*OC00000008035569\*

RECEIVED RECORDS

MAY 29 2002

RDB-211  
& DOCKETING CA OFFICE

Date Mailed: 05/07/2002

## NOTIFICATION OF DEFECTIVE RESPONSE

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee
- Priority Document
- Biochemical Sequence Diskette
- Biochemical Sequence Listing
- Copy of IPE Report
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration

Due June 7, 2002

No extensions.

Docketed 7/7

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

**Applicant is required to complete the response within a time limit of ONE MONTH from the date of this Notification or within the time remaining in the response set forth in the Notification of Missing Requirements, whichever is the longer. No extension of this time limit may be granted under 37 CFR 1.136, but the period for response set in the Notification of Missing Requirements may be extended under 37 CFR 1.136(a).**

The following items **MUST** be furnished within the period set forth below:

- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - The CRF (was) Damaged
  - APPLICANT MUST PROVIDE:
    - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PAULETTE R KIDWELL

---

Telephone: (703) 305-3656

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/830,693	PCT/US99/06937	UCAL-256/01US

FORM PCT/DO/EO/916 (371 Formalities Notice)



Rec'd PCT/PTO 07 JUN 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Shiau et al

Serial No.:09/830,693

Group Art Unit: To be assigned

Filed: March 30, 1999

Examiner: To be assigned

For: *Methods and Compounds For  
Modulating Nuclear Receptor Activity*

Attorney Docket No.: 9811-013-999

**VERIFIED STATEMENT UNDER 37 C.F.R. § 1.821(f)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

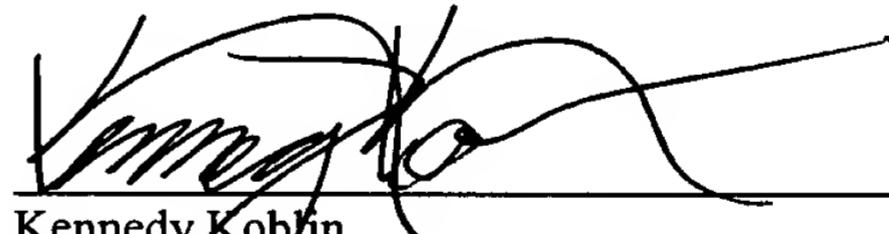
I, KENNEDY KOBLIN, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable forms in accordance with 37 C.F.R. §§ 1.821 - 1.825 in connection with the above-captioned patent application, both of which are being submitted herewith.

2. I hereby state that, to the best of my knowledge, the contents of the paper and computer readable copies of the Sequence Listing are the same; and this submission includes no new matter.

3. I declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed



Kennedy Koblin  
Legal Assistant

June 6, 2002

Date